

	KMI	KNPD 1440.1 Rev. Basic
National Aeronautics and Space Administration	DATE	April 30, 2002
John F. Kennedy Space Center	EXPIRES	April 30, 2007

Kennedy NASA Policy Directive

RESPONSIBLE OFFICE: Director of Spaceport Services

SUBJECT: KSC RECORDS MANAGEMENT AND VITAL RECORDS
PROGRAMS

1. POLICY

It is KSC policy that all NASA records, including those NASA-owned records generated and/or maintained by contractors, shall be preserved, maintained, and/or disposed of in accordance with the instructions set forth in NPD 1440.6 and NPG 1441.1; and vital documents and records shall be identified, selected, and preserved to ensure the continuity of essential operations during and after any kind of emergency, in accordance with the instructions set forth in NPD 1440.6. At the present time, there is no requirement for, or approved method to retain e-mail records in electronic form. The Agency position is still to printout any/all e-mails that are deemed to be official/vital records or supporting documentation to records.

2. APPLICABILITY

This Instruction applies to all KSC NASA personnel and to contractor personnel, in accordance with the provisions of their respective contracts, who create and/or maintain records for, or on behalf of, NASA. This Instruction does not apply to construction contracts and contracts for maintenance, which are performed onsite by non-tenant contractors.

3. AUTHORITY

- a. NPD 1440.6 (as revised), "NASA Records Management."
- b. NPG 1441.1 (as revised), "NASA Records Retention Schedules."

4. REFERENCES

- a. JHB 2000 (as revised), "Consolidated Comprehensive Emergency Management Plan."
- b. NPG 1620.1 (as revised), "Security Procedures and Guidelines."
- c. KDP-KSC-P-1881, "NASA Records Management."

5. RESPONSIBILITIES

- a. The Director of Spaceport Services is responsible for:
 - (1) Managing the KSC Records and Vital Records programs.
 - (2) Selecting a KSC Records Manager and an Installation Vital Records Officer to administer program requirements at KSC.
 - (3) Complying with Agency and Government regulations concerning the preservation, disposal and management of KSC records and vital records.
- b. Heads of primary organizations are responsible for implementing the KSC Records Management Program within their respective organizations and for complying with the stated policy and provisions of this Instruction.
- c. The Director, Procurement Office, is responsible for ensuring all onsite contracts require NASA-owned records, generated and/or maintained by KSC tenant contractors, to be managed and disposed of in accordance with this Instruction and other applicable records regulations.

6. SUPERSESSON

This Instruction supersedes KMI 1440.1H.

Roy D. Bridges, Jr.
Director

Attachments:

- A. Responsibilities
- B. Vital Records Management

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RESPONSIBILITIES

1. The KSC Records Manager/Installation Vital Records Officer is responsible for:
 - a. Formulating and administering the KSC Records Management Program; developing local policies and procedures, as necessary, to ensure compliance with NASA Archives and Records Administration (NARA) Regulations; and implementing NASA Policy Directives and NASA Procedures and Guidelines.
 - b. Administering the KSC Vital Records Program, in consonance with the KSC Emergency Preparedness Officer, to ensure the ready availability of vital records needed for the continued operation of essential functions within the Kennedy Space Center in the event of a national or regional emergency.
 - c. Coordinating with the Organizational Records Control Officers (RCOs) for proper management of KSC records in their jurisdiction. This includes developing a workable plan for identifying, safeguarding, maintaining and updating their organizations vital records (including those records in the possession of contractors) to permit the Center to function under emergency conditions.
 - d. Serving as the central focal point for records management interfaces with NASA Records Officer, management personnel of the Federal Records Center, NARA, and other Government agencies external to NASA.
 - e. Providing award-fee evaluation data to KSC Contracting Officers regarding the contractor's effectiveness/performance in the management of NASA records in their custody, as specified in the contractual clause, "Management of NASA-Owned/Contractor-Held Records."
 - f. Approving/disapproving proposed additions, deletions, or other changes in NASA records retention schedules to accommodate KSC-unique records collections.
 - g. Developing and coordinating a training program to familiarize Center personnel with requirements for the maintenance and disposition of KSC records.
 - h. Maintaining, in a central location, a master listing of the organizational designated vital records and disposition plans and review annually with each organization to revalidate and/or update plans as appropriate.
2. Heads of primary organizations are responsible for:
 - a. Designating qualified employees to act as Records Control Officers (RCOs) and Alternate Records Control Officers for their respective

organizations, and furnishing the names of the individuals designated to the KSC Records Manager.

- b. Ensuring accurate and complete documentation of the transaction of official business, including mission and administrative operations, is preserved in official files, and managers at all levels provide effective plans, directions, and control over the records cycle from creation to disposition.
 - c. Ensuring the Records Control Officers develop a workable Vital Records Protection Plan for their respective organizations consistent with the provisions of this Instruction. (See Attachment B)
3. Records Control Officers are responsible for:
- a. Ensuring the proper organization, maintenance, and disposition of all records generated within their respective areas of responsibility in support of the KSC Records Manager. (Reference NPD 1440.6 and NPG 1441.1.)
 - b. Complying with the NASA Records Retention Schedules, NPG 1441.1, and ascertaining all records maintained in assigned offices of record are covered by appropriate disposal instructions.
 - c. Coordinating with the KSC Vital Records Officer to develop and ensure a workable Vital Records Protection Plan for identifying, safeguarding, maintaining and preserving the organization's vital records, including those in the possession of contractors, that would permit the Center to function under emergency conditions.
 - d. Preparing and furnishing a complete inventory list, in a vital records plan, to the KSC Vital Records Officer.
 - e. Conducting annual reviews of their organization's vital records to ensure material is current and complete.
4. Records Custodians are responsible for:
- a. Implementing the records maintenance, use, and disposition policies and procedures for the records they maintain for their respective offices.
 - b. Consulting with the office chief and, when necessary, with the Organizational Records Control Officer on problems concerning creation, maintenance, use, and disposition of records.
5. The Manager, KSC Records Staging Area, is responsible for:

- a. Managing the KSC Records Staging Area and assuming responsibility for all records forwarded to the KSC Records Staging Area.
 - b. Ensuring all records transmittals and records containers are properly prepared for shipment to the KSC Records Staging Area and the Federal Records Center.
 - c. Preparing and processing necessary correspondence on matters concerning records in storage locally or in the Federal Records Center.
 - d. Providing retrieval services for records stored in the KSC Records Staging Area and the Federal Records Center.
6. Every employee who creates, maintains, or uses NASA records is responsible for safeguarding, preserving, and disposing of such records, regardless of the medium on which they reside, in accordance with this issuance.
7. The KSC Emergency Preparedness Officer is responsible for:
- a. Assisting the KSC Vital Records Officer in administering the KSC Vital Records Plan and in the selection of vital records storage sites.
 - b. Including in JHB 2000 (as revised) requirements for the preservation of KSC vital records.

VITAL RECORDS MANAGEMENT

1. Vital Records are those agency records that would be needed to continue operational responsibilities under national security emergencies or other emergency disaster conditions. This definition also includes those records essential to protecting the legal and financial rights of KSC and of those individuals affected by its activities. Vital records fall into two categories: (1) emergency operating records, and (2) legal and financial rights records.
 - a. Emergency Operating Records are records vital to the essential functioning of an organization during and after an emergency. Included are emergency plans and directive(s), orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical Agency operations, as well as related policy or procedural records that assist Agency staff in conducting operations under emergency conditions and for resuming normal operations after an emergency.
 - b. Legal and Financial Rights Records are that type of vital records essential to protecting the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, social security records, payroll records, retirement records, insurance records and records documenting financial agreements with external entities.
2. Vital Records Plan. Each Federal agency must develop and implement a plan for identifying and protecting its vital records in accordance with 36 CFR Subpart B and paragraph 1236.40. Critical to this effort is the development and maintenance of a current inventory of the Agency's record series and information systems deemed to be vital.
3. Inventory of Vital Records should include:
 - a. The name of the office responsible for the records series or electronic information system.
 - b. The title of each records series or information system containing vital information.
 - c. Identification of each series or system that contains emergency operating vital records or vital records relating to rights.
 - d. The medium on which the records are recorded.
 - e. The physical location for offsite storage of copies of the records series or system, if applicable.
 - f. The frequency with which the records are to be cycled (updated).

4. Vital Records Reporting

- a. The Records Control Officers will provide to the KSC Records Manager a listing of records considered to be vital records, and their plans for disposition during and after emergencies.
- b. The KSC Records Manager will maintain, in a central location, a master listing of these designated records and disposition plan.
- c. The KSC Records Manager will review plans annually with center organizations to revalidate and/or update as appropriate.